

**NORTH CAROLINA DIVISION OF AGING
AND REGION _____ AREA AGENCY ON AGING
PERFORMANCE REVIEW FOR
FAMILY CAREGIVER SUPPORT PROGRAM**

Agency: _____ Review Date: _____

Agency Staff Interviewed: _____

Signature of Reviewer: _____

Program Verification Part I

1. Service Provision

The contracting agency provides services in one or more of the service categories under the Older Americans Act, the National Family Caregiver Support Program (FCSP) indicated below.

[Public Law 106-501, Title III –E]

- | | | | |
|---|-----|-----------|----------|
| <input type="checkbox"/> Category I: Information to caregivers about available services | 800 | Yes _____ | No _____ |
| <input type="checkbox"/> Category II: Assistance to caregivers in gaining access to services | 810 | Yes _____ | No _____ |
| <input type="checkbox"/> Category III: Individual counseling, organization of support groups and training for caregivers | 820 | Yes _____ | No _____ |
| <input type="checkbox"/> Category IV: Respite care on temporary, emergency or intermittent basis | 830 | Yes _____ | No _____ |
| <input type="checkbox"/> Category V: Supplemental services on a limited basis | 840 | Yes _____ | No _____ |

(SEE INDIVIDUAL SERVICE CATEGORY SECTION OF TOOL)

2. CLIENT ELIGIBILITY

[OAA Title III, Part E, Sec. 373 & Sec. 372)

Agency records show that caregiver clients meet one of the FCSP eligibility criteria below:

- a. Adult family member, or another individual, who is an informal provider of in-home and community care to an individual age 60 and older.

Yes _____ No _____

(e.g., client records and activity reports)

OR

- b. Older (age 60 or older) grandparent, step-grandparent, or a relative by blood or marriage of a child (age 18 and younger), who lives with the child and is his/her primary caregiver.

Yes _____ No _____

(e. g., client records and activity reports)

- c. Agency records show that funds for Category IV: Respite and Category V: Supplemental Services are restricted to help caregivers of older individuals who:
- 1) are unable to perform at least two ADL's; **or**
 - 2) due to cognitive/mental impairment need substantial supervision because the individual behaves in a manner that poses a health or safety hazard to the individual or others.
- [OAA, Sec 102(28)(A)(i) and (B)]

Yes _____ No _____
 (e. g., client records)

3. SERVICE PRIORITY:

[OAA, Title III, Part E, Sect. 373 (2), Sec. 372 Program Authorization]

Agency records show that priority of services is given to:

- a. Older adults with greatest social and economic need, particularly to low-income older individuals.

Yes ____ No _____
 (e.g., client records and outreach activities)

- b. Relative caregiver age 60 or older with primary responsibility of caring for a child age 18 or under with mental retardation and related developmental disabilities.

Yes ____ No _____
 (e.g., client records)

4. METHOD OF SERVICE PROVISION

The FCSP Community Service Provider uses one of the following methods to provide services to - caregivers:

- a. Direct Service:

The Community Service Provider records show that their employees provide the services in one or more of the five FCSP service categories directly.

Yes _____ No _____
 (e.g., Client records, provider employee work records)

- b. Arrangement of Services

The Community Service Provider records show that they have negotiated/arranged for any of the five FCSP service categories to be provided by a government or not-for-profit organization with a clearly defined contract and/or agreement.

Yes _____ No _____
 (e.g., copy of contract or agreements)

c. Purchase of Service

If they have contracted a private for-profit agency for provision of services, the Community Service Provider records show that they have followed the referenced regulation regarding bidding and awarding of federal funds, if applicable. (Contracting for the FCSP is allowed with private for-profit agencies without bidding out the contracts provided that the contract is for \$25,000 or less. The contractor may use local bidding procedures that are not in conflict with the referenced federal guidelines. The price negotiated should be reasonable with fair market value. Services contracted through the AAA do not require a direct service waiver):

[DHHS regulations 45 CFR, Part 92.36.]

Yes _____ No _____ N/A _____

(e.g., copy of contract, agreements, procedures, and reimbursement records.)

5. SERVICE AUTHORIZATION

a. Agency records show that the required service authorization activities are completed for caregiver clients receiving services in Categories IV & V, as spelled out in contract.

Yes _____ No _____

(e.g., client records)

b. Agency records show that services provided adhered to quality assurance standards as spelled out in agency's contract with AAA.

Yes _____ No _____

(e.g., client records, accreditation, customer satisfaction)

c. Agency records show that FCSP funds do not replace/supplant existing services.

[OAA, Title III, Part E, Sec. 374]

Yes _____ No _____

(e.g., records indicate new client, temporary, one-time service, previously unmet needs, new service)

6. Reporting Requirements

[DOA Administrative Letter No. 01.1]

a. Agency records show that they have established and maintained an adequate system for record- keeping of persons served, expenditures, and unmet need.

Yes _____ No _____

(e.g., Client records, DOA Caregiver Activity Summary, expense reports, invoices, and unmet service requests list)

b. Agency records show that they have submitted FCSP expense forms and client activity summary forms and provided requested information to the AAA office by the date specified in the contract.

Yes _____ No _____

(e.g., AAA expense and DOA)

c. **Confidentiality**

[OAA Sec. 314 (42 U.S.C. 3030c-1) AAA Policies & Procedures Manual, 1000]

Agency records show that a policy for confidentiality of client information is in place and information is not released without consent of the client.

Yes _____ No _____

(e.g., copy of written policy, form signed by client)

d. **Applicant/Client Appeals Grievance**

[OAA Sec. 314 (42 U.S.C. 3030c-1)]

Agency records show that a policy for Applicant/Client appeals or grievance is in place and clients are aware of this right.

Yes _____ No _____

(e.g., copy of written policy, Client Bill of Rights)

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Fiscal Verification Part II

1. Reimbursement Methods

a. Agency records show that monthly expense forms are submitted to the AAA by the _____ day of each month for non-unit service cost.

Yes _____ No _____
(e.g., copies of expense forms/date submitted)

b. Agency records show allowable expenditures and request for reimbursement for non-unit services.
(AAA VII. I, J, K) (DOA Administrative Letter No. 01-4)

YES _____ No _____
(e.g., invoices, purchase orders, employee time records)

c. Agency records show that a FCSP annual budget and any revisions with justifications were submitted for approval. (if applicable)

Yes _____ No _____ NA _____
(e.g., Copy of authorized budget & revision)

d. Agency records show that the amount of FCSP funds spent to-date agrees with ARMS amount.
(DOA Administrative Letter No. 01-6)

Yes _____ No _____
(e.g., compare agency amounts with AAA ZGA370-12)

e. Agency records show that expenditures in Category V are no more than 20% of total budget and no more than 10% for Grandparent Raising Grandchildren.
[OAA Title III, Part E.]

Yes _____ No _____
(e.g., agency budget, general ledger)

2. Accounting System

a. Agency records show that they maintain an accounting system that meets the requirements of Chapter 159 of the General Statutes of NC, and local Government Budget and Fiscal Control Act.

Yes _____ No _____
(e.g., documentation papers)

b. Agency records show that they have procedures to enable participants to contribute to services, and a system for collecting, depositing and recording program income/cost sharing.
(OAA Sec1321.67)

Yes _____ No _____
(e.g., written policy and records of CS contributions)

NORTH CAROLINA DIVISION OF AGING
AND REGION _____ AREA AGENCY ON AGING

**Contract Monitoring for Family Caregiver Support Program
Category I Services**
With

(agency)

Category I: Information about available services (group activities)

Contract includes the following allowable services:

- Community and program relations and advocacy
- Community and program outreach
- Community and program assessment
- Community and program planning
- Community and program documentation, evaluation and oversight
- Informational/educational programs
- Organization and/or participation in community events (e.g., job fairs, health fairs, chamber of commerce, and senior fairs)
- Program promotion (e.g., public service announcements and advertisements)
- Public information (e.g., printing of publications)
- Other as approved by DOA (explain)

Population targeted under contract:

- Adult family member, or another individual, who is an informal provider of in-home and community care to an individual age 60 and older.
- Older (age 60 or older) grandparent, step-grandparent, or a relative by blood or marriage of a child (age 18 and younger) who lives with the child and is his/her primary caregiver.

Agency is contracted to provide:

- Direct Services:** The Community Service Provider records show that employees of the provider directly provide the identified Category I services.
- Arrangement of Services:** The Community Service Provider records show they have negotiated/arranged for this service to be provided by a government or not-for-profit organization with a clearly defined contract and/or agreement.

Contract-specific Items to be monitored include:

NORTH CAROLINA DIVISION OF AGING
AND REGION _____ AREA AGENCY ON AGING

**Contract Monitoring for Family Caregiver Support Program
Category II Services**

With

(agency)

Category II: Assistance in gaining access to services (individually oriented activities)

Contract includes the following allowable services:

- Information & Assistance (I&A)
- Care management
- Care planning
- Caregiver emergency plan (e.g., hospitalization plan, back-up respite service, and enrollment on special needs registry)
- In-home caregiver assessment
- Benefits screening/assessment
- Program planning, coordination, assessment, resource development, and oversight
- Other as approved by DOA (explain)

Population served under contract:

- Adult family member, or another individual, who is an informal provider of in-home and community care to an individual age 60 and older
- Older (age 60 or older) grandparent, step-grandparent, or a relative by blood or marriage of a child (age 18 and younger) who lives with the child and is his/her primary caregiver.

Agency is contracted to provide

- Direct Services: The Community Service Provider records show that employees of the provider directly provide the identified Category II services.
- Arrangement of Services: The Community Service Provider records show they have negotiated/arranged for this service to be provided by a government or not-for-profit organization with a clearly defined contract and/or agreement.

Contract-specific Items to be monitored include:

NORTH CAROLINA DIVISION OF AGING
AND REGION _____ AREA AGENCY ON AGING

**Contract Monitoring for Family Caregiver Support Program
Category III Services
With**

(agency)

Category III: Individual counseling: organization of support groups; caregiver training

- Caregiver counseling
- End of life counseling
- Grief counseling
- Financial counseling
- Legal services
- Organization of support groups
- Caregiver support groups
- Disease-specific support groups
- Support groups for widows and widowers
- Workplace caregiver support (e.g., coordination with employer-sponsored caregiver assistance programs)
- Caregiver training programs
- Program planning, coordination, assessment, resource development, and oversight
- Other as approved by DOA (explain)

Population served under contract:

- Adult family member, or another individual, who is an informal provider of in-home and community care to an individual age 60 and older
- Older (age 60 or older) grandparent, step-grandparent, or a relative by blood or marriage of a child (age 18 and younger) who lives with the child and is his/her primary caregiver.

Agency is contracted to provide:

- Direct Services: The Community Service Provider records show that employees of the provider directly provide the identified Category III services.
- Arrangement of Services: The Community Service Provider records show they have negotiated/arranged for this service to be provided by a government or not-for-profit organization with a clearly defined contract and/or agreement

Contract-specific Items to be monitored include:

NORTH CAROLINA DIVISION OF AGING
AND REGION _____ AREA AGENCY ON AGING

**Contract Monitoring for Family Caregiver Support Program
Category IV Services**

With

(agency)

Category IV: Respite Care, (Individual or group-with individual reporting requirements)

- In-Home respite care (personal care, homemaker and other in-home respite including services provided by Senior Companion Programs and home visitors.)
- Adult day centers
- Mobile day respite care
- Group respite program
- Emergency respite program
- Institutional respite
- Other short-term respite options (e.g., respite camps and caregiver retreats)
- Program planning, coordination, assessment, resource development, and oversight
- Other as approved by DOA

Population served under contract:

- Adult family member, or another individual, who is an informal provider of in-home and community care to an individual age 60 and older
- Older (age 60 or older) grandparent, step-grandparent, or a relative by blood or marriage of a child (age 18 and younger) who lives with the child and is his/her primary caregiver.

Agency is contracted to provide

- Direct Services:** The Community Service Provider records show that employees of the provider directly provide the identified Category IV services.
- Arrangement of Services:** The Community Service Provider records show they have negotiated/arranged for this service to be provided by a government or not-for-profit organization with a clearly defined contract and/or agreement

Agency records show funds for respite and supplemental services are restricted to help caregivers of older individuals who:

- ◆ are unable to perform at least two ADL's; **or**
- ◆ due to cognitive/mental impairment need substantial supervision because the individual behaves in a manner that poses a health or safety hazard to the individual or others.

[Sec102(28)(A)(1) and (B)]

Yes _____ No _____
(e.g., client record)

Contract-specific items to be monitored include:

**NORTH CAROLINA DIVISION OF AGING
AND REGION _____ AREA AGENCY ON AGING**
Contract Monitoring for Family Caregiver Support Program
Category V Services
With

(agency)

Category V: Supplemental Services (Individual, mostly one-time services)

- Home safety interventions/audits
- Access to assistive technology
- Handy man, yard work, or household chore work (e.g., house cleaning for caregivers)
- Equipment loans
- Home modifications (e.g., lift chairs, grab bars, assistive devices, etc.)
- Emergency alarm response systems
- Incontinence or other caregiving supplies
- Telephone reassurance
- Liquid nutritional supplements (e.g., Ensure or Boost)
- Home delivered meals
- Transportation
- Program planning, coordination, assessment, resource development, and oversight
- Other as approved by DOA (explain)

Population served under contract:

- Adult family member, or another individual, who is an informal provider of in-home and community care to an individual age 60 and older
- Older (age 60 or older) grandparent, step-grandparent, or a relative by blood or marriage of a child (age 18 and younger) who lives with the child and is his/her primary caregiver.

Agency is contracted to provide

- Direct Services:** The Community Service Provider records show that employees of the provider directly provide the identified Category I services.
- Arrangement of Services:** The Community Service Provider records show they have negotiated/arranged for this service to be provided by a government or not-for-profit organization with a clearly defined contract and/or agreement.

Agency records show funds for respite and supplemental services are restricted to help caregivers of older individuals who:

- ◆ are unable to perform at least two ADL's; **or**
- ◆ due to cognitive/mental impairment need substantial supervision because the individual behaves in a manner that poses a health or safety hazard to the individual or others.

[Sec. 102(28)(A)(1) and (B)]

Yes _____ No _____
(e.g., client record)

Contract-specific Items to be monitored include:

MONITORING VISIT NOTES:

Performance Review Tool for FCSP Individual Client Record Review-page 1

Agency _____
Year Reviewed _____

CLIENT (name or ID)										
Care Recipient Name										
Date of Service										
Service Cat. (I-V)										
Client Registration /intake completed for Categories III-V										
Population served: (GRG or CG of adult 60 +)										
Age of client/ caregiver (GRG or CG of adult 60+)										
Age/care recipient (adult 60+ or grand-child 18 & under)										
Evidence client received Assur. of Confidentiality										
Evidence client received Cost Share opportunity										
Evidence client received Bill of Rights										
Cat. IV & V: 2 ADLs or cognitive /mental impair. (specify)										
IF GRG -evidence of primary CG and living with child										
Unit of service definition										
"Units" reported										
"Units" reimbursed										
Difference of units reported less units reimbursed.										

